

**DOJ/OIG ADDITIONAL GUIDELINES FOR
PRESERVATION/MAINTENANCE OF DOCUMENTS: RILLE CASES**

Identify Personnel (generally information technology and/or procurement personnel) involved with:

- 1) Identifying, designing, and configuring information technology systems/products that would have contact/communications with System Integrators or Technology Vendors (TV), TV channel partners, TV resellers, TV distributors, and/or TV dealers.
- 2) Generating requisitions or Statements of Work or White Papers or specifications or obtaining preliminary quotes/pricing information that is then forwarded to procurement officials to start the procurement process.
- 3) The review of proposals/bids/quotes during the procurement process
- 4) In a technical capacity, such as Technical Representatives or "COTRs," contracts involving products or services relating to the listed entities
- 5) Maintenance and/or services, and/or warranty issues relating to information technology products involving the listed entities, and, in that role, would have communications with the identified entities or their channel partners, resellers, distributors and/or dealers on these issues. This would include personnel tracking warranty and service issues, logs, or calls, as well as personnel substantively involved with obtaining pricing information, specifications, and obtaining quotes relating to maintenance upgrades, renewals, and services involving the products of the listed entities
- 6) The award of and routine administration of agreements, all types, to include purchase orders, contracts, blanket purchase agreements, ordering agreements, with the listed entities **or with their channel partners, resellers, distributors, or dealers, to procure products or services of the entities listed.** This would also **include** purchases through GSA Schedules, NASA SEWP, BPAs, Just-in-Time, and DOE ICPT, of products or services of the listed entities. The file of record for the agreements should be identified and preserved, as well as related notes, communications, and informal files maintained by personnel assigned to the administration of the procurement files.
 - a) What is not required is the preservation of documents relating to small quantity, low dollar, and occasional purchases of products made by purchase cards.
 - b) What also needs to be identified and preserved are the claims that were submitted under identified procurement files, and the documentation indicating when the claim was paid and in what amount.

Once the above personnel are identified, ascertain which documents, electronic and hard copy, need to be preserved.

Suggestions

A question to pose to information technology and procurement personnel is: Does the site have products from the entities listed, or in the case of Accenture, services? If so, how has the site acquired/how is the site acquiring the products. That answer will frequently be not directly, rather through a subcontractor or other contract vehicle, or via an authorized reseller or distributor. The documents related to those transactions will need to be preserved.

Send out email to have staff identify what documents, electronic and hard copy that they might have responsive to the above. This will identify names of individuals that can assist in word searches. This should also identify which servers need to be searched.

Preserve all back up tapes.

Do not need to preserve User Manuals from the IT companies.

Do not need to preserve the mere request by a user for maintenance or warranty issues, if the procedure is for a user to notify a help desk or the information technology division, and these organizations are the ones that then generate and/or track the work requests for warranty and or maintenance issues.